NAUPA II Standard

Electronic File Format

June 2011

Controller John Chiang
California State Controller's Office

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Contact Information

Visit our Website	www.sco.ca.gov
Mailing Address	California State Controller's Office John Chiang, California State Controller Unclaimed Property Division P.O. Box 942850 Sacramento, CA 94250-5873
Physical Address For courier delivery services	California State Controller's Office John Chiang, California State Controller Unclaimed Property Division 10600 White Rock Road, Suite 141 Rancho Cordova, CA 95670
SCO Hours of Operation	Monday through Friday 8 a.m. to 5 p.m. PST

Contacts for Holders		
Holder Outreach Unit:	updholderoutreach@sco.ca.gov	
General Reporting Inquiries:	ucpreporting@sco.ca.gov	(916) 464-6284
Compliance Unit:	updcompliance@sco.ca.gov	(916) 464-6088
Electronic Funds Transfer Unit:	updscoeft@sco.ca.gov	(916) 464-6220
CCP 1577 Interest Assessment:	1577info@sco.ca.gov	(916) 464-6092
Remitting Securities:	secrecon@sco.ca.gov	(916) 464-6244
Safe Deposit Unit:	updsafekeeping@sco.ca.gov	(916) 464-0783

Consumer Claims		
General Information	Nationwide Outside of U.S.	(800) 992-4647 (916) 323-2827

Introduction

The **Standard NAUPA II** format is the national standard for reporting unclaimed property to all states. This format will expedite processing and ensure information accuracy. The SCO is committed to making reporting requirements as simple as possible for the holder community. Unclaimed Property forms, reporting instructions, laws, and regulations are available on the SCO's web site at www.sco.ca.gov.
Please continue to refer to this website for further updates. Reporting instructions can be found at the following link: http://www.sco.ca.gov/upd_form_rptg.html
The following definitions and specifications were prepared to assist holders with the use of the electronic software for the Standard NAUPA II format.

Record Type Descriptions

The NAUPA standard for reporting unclaimed property is based upon six record types:

1. Holder Records
2. Property Records
3. Property Additional Owners
4. **Reserved**
5. Securities Additional Information
6. Tangible Property Information
7. **Reserved**
8. **Reserved**
9. Summary Information

The records are based upon a 625-byte record layout developed by NAUPA . The first byte of each record contains a TR-CODE that denotes the type of record, and the subsequent 624 bytes are used to store the fields for that particular record. The TR-CODE is a number between 1 and 9. This number indicates the type of record, as indicated below:

If the TR-CODE equals:

1 - then it is a **HOLDER** record.   5 - then it is a **SECURITY** record.

2 - then it is a **PROPERTY** record.   6 - then it is a **TANGIBLE** record.

3 - then it is a **PROPADD** record.   9 - then it is a **SUMINFO** record.

TR-CODES **4, 7**, and **8** are reserved for future use.

Holders using the NAUPA standard must use the file formats shown in the record format in the Appendix of the Standard NAUPA II Field Definitions/Specifications.

The Mandatory/Required/Optional column of the charts shows whether a field is mandatory, required, or optional.

If the field is marked:

- **"M" or mandatory** — Information must be supplied in order to process the file correctly or the file will be rejected.

- **"R" or required** — you must supply the information if you know it, i.e., the information is usually required by law or regulation. If you cannot supply the information, you must space fill character fields (type class C) and zero fill numeric fields (type class N).
- **"O" or optional** — the information is desired and may be used if supplied. If you opt to not supply information, you must space fill character fields (type class C) and zero fill numeric fields (type class N).

Multiple Holder Reports

Because the PROPERTY, PROPADD, SECURITY, TANGIBLE and SUMINFO records do not contain fields to link them with a certain holder record, using a single file for multiple holder reports requires some special handling. If multiple holder reports are put on a single medium, holders **MUST** follow the instructions below.

Multiple Holder Reports may be included in a single diskette using one of the following options:

Option 1 - Each Holder Report is located in a separate file in the root directory. The file begins with a HOLDER record, and ends with a SUMINFO record. Only one HOLDER and one SUMINFO record exist in the file.

Option 2 - All Holder Reports are in the same file in the root directory. The HOLDER record must be the first record in the file, and the SUMINFO record must be the last record in each Holder Report. All PROPERTY, PROPADD, SECURITY, and TANGIBLE records located between the HOLDER and SUMINFO records will be assumed to belong to that HOLDER record. The HOLDER record for the second HOLDER Report should be the first record after the SUMINFO record for the previous Holder Report. The same criteria will hold true for subsequent Holder Reports.

CD/Diskette Physical Requirements

All diskettes must meet the following requirements.

- The diskette must be a standard high-density, 3.5-inch, 1.44 MB diskette.
- The record format is a fixed record length (625-byte) ASCII file.
- The data on the CD must be recorded in an uncondensed or non-compressed format.

All CDs must meet the following requirements.

- CDs must be CD-R formatted.
- The record format is a fixed record length (625-byte) ASCII file.
- The data on the CD must be recorded in an uncondensed or non-compressed format.

CD/Diskette Submission Requirements

After the report has been developed using the File/Record Format Requirements it must be copied to a file (one or more reports may be copied to a single file).

Test CD/Diskette Development

It is recommended that first time filers or when there are new system changes that the holder first prepare a test CD or diskette, using sample data that represents property types typically reported. The test file should be sent to the SCO prior to the report due date to allow enough time for review, return to the holder, and correction by the holder of any errors.

Select no more than 1,000 accounts, representing the diversity of property types typical to the organization's unclaimed property report.

Verify that all elements of the format requirements, as defined in this guide, are met.

Label the CD or diskette TEST FOR (HOLDER NAME) and send it to the State Controller's Office at the address below:

Mailing Address:

> Office of State Controller John Chiang
> Unclaimed Property Division
> P.O. Box 942850
> Sacramento, California 94250-5873

For courier delivery services, use the following street address:

> Office of State Controller John Chiang
> Unclaimed Property Division
> 10600 White Rock Road, Suite 141
> Rancho Cordova, CA 95670
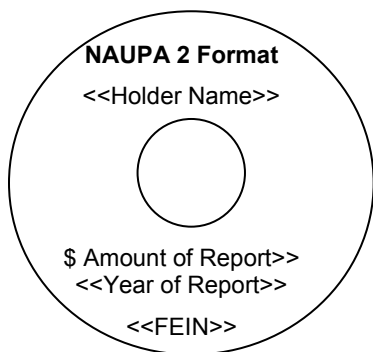
Test CD/Diskette Review

Upon receipt, the test CD or diskette will be reviewed by the SCO. If the data on the CD or diskette is formatted correctly, we will send an approval letter to the holder authorizing the organization to submit a production CD or diskette. If the media cannot be read or the data is not formatted correctly, we will return the CD or diskette with a letter detailing the errors. After the corrections are made, the holder should submit the new test CD or diskette with a cover letter indicating: "Replacement Test CD/Diskette."

Production CD/Diskette Development and Labeling

All CDs and diskettes must be in an uncondensed or non-compressed format. Diskettes, however, may be zipped. When zipping, use PKZIP© version 2.04g utility or WinZip, and write "ZIPPED" on the label.

All CDs and diskettes must include an external label with the preparer's name and telephone number. Paper printouts of the file may be sent to assist the SCO information-processing staff in correcting minor errors, but they are not required.

Sample CD Label

NAUPA 2 Format

<<Holder Name>>

$ Amount of Report>>
<<Year of Report>>

<<FEIN>>

Sample Diskette Label

NAUPA 2 Format

<<Holder Name>>

<<$ Amount of Report>>
<<Year of Report>>

<<FEIN>>
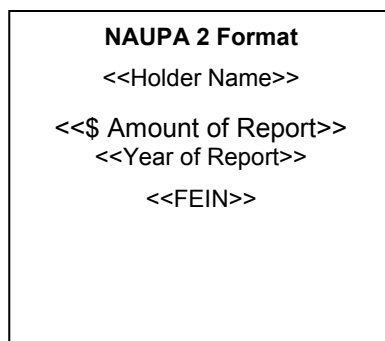
Include the completed UFS-1 form.

Production CD/Diskette Review

Upon receipt, the SCO will review the production CD or diskette. If the media cannot be read or the data is not formatted correctly, we will return the CD or diskette with a letter detailing the errors. After the corrections are made, the holder should submit a replacement CD or diskette with a cover letter indicating: "Replacement CD/Diskette."

Field Definitions/Specifications

HOLDER Record - Field Definitions/Specifications

There will always be at least one HOLDER record with each report. The information in the HOLDER record relates to the institution reporting the property. All subsequent PROPERTY, PROPADD, SECURITY, TANGIBLE, and SUMINFO records are attributed to this holder's report.

1. TR-CODE

   This field must contain "1" to denote that the record is a HOLDER record.

2. HOLDER-TAXID

   Federal employer identification number – Enter the nine-digit tax ID number assigned to you by the federal government. If you are not familiar with your tax ID number, contact your payroll, accounting, or tax department. Do not include any hyphens in the federal employer identification number.

3. HOLDER-TAXID-EXT

   If any other departments or branches of your organization file unclaimed property reports using the same tax ID number listed on your report, please contact the state to receive a FEIN suffix Number. The suffix will be used to direct questions to the correct reporting department/branch. If your business files only one report, the default is "0001". For safe deposit boxes, reporting branch number is mandatory.

4. HOLDER-RPT-YEAR

   Enter the four-digit year for which the property is being reported (i.e. 2007).

5. HOLDER-RPT-TYPE

   (a) Holder Notice Report

   This field must be populated with "A" to denote that this is a Notice Report, meaning no money or property is being remitted at this time.

   (b) Holder Remit Report

   This field should be populated with "R" to denote that this is a Remit Report, i.e. money and/or property are being remitted at this time.

   (c) Test Report

   This field should be populated with "T" to denote that this is a test file. By indicating that this is a test file, the data should not be considered an actual report. This permits the submission of files to be tested by the SCO before submitting an advertising report. Only use this option if submitting a test report.

6. HOLDER-RPT-NUMBER

   If this is the first report filed by the holder for the report year, this should be "01." If the holder (under the same tax identification number and extension) files multiple reports during the year, this number should be increased by 1 for each additional report.

7. HOLDER-RPT-FORMAT

   The only accepted value is "R" for Revised NAUPA format. No other values are acceptable.

8. HOLDER-SIC-CODE

   This is the four-digit Standard Industrial Classification code that indicates the primary business activity of the reporting company.

9. HOLDER-INCORPORATED-STATE

   Enter the two-character postal abbreviation of the state in which the company is incorporated. Savings and loan associations, banks, and credit unions should enter the state in which they were chartered. Please see the appendix for the appropriate NAUPA state code.

10. HOLDER-INCORPORATED-DATE

    HOLDER-INC-DATE-CCYY (four-digit year)

    HOLDER-INC-DATE-MM (two-digit month)

    HOLDER-INC-DATE-DD (two-digit day)

    Enter the date on which the company was incorporated or licensed to do business. Savings and loan associations, banks, and credit unions should enter the date their organization was chartered. "CC" equals the century, and "YY" equals the year, "MM" equals the numerical month, "DD" equals the day.

11. HOLDER-NAME

    Enter the name of the company or institution for which you are reporting. Punctuation (periods, commas, apostrophes, etc.) should never be used under any circumstances. If the name of the company starts with the word "the," place "the" at the end. For example: "The Smith Company" should read "Smith Company The." Do not abbreviate the first word of the company name, e.g., American vs. Amer, National vs. Natl. Also, do not use numeric values in the holder name field unless absolutely necessary. The word "first" should never be abbreviated as "1st." Exceptions can be made when a number is part of a company logo or registered trademark, such as A1 Inc or 84 Lumber. Company names containing initials should have spaces between them, e.g., J J Reynolds vs. JJ Reynolds.

12. HOLDER-CITY

   Enter the name of the city where the corporate headquarters or the primary place of business is located for the tax ID noted above.

13. HOLDER-COUNTY

   Enter the name of the county where the corporate headquarters or the primary place of business is located for the tax ID noted above.

14. HOLDER-STATE

   Enter the name of the state where the corporate headquarters or primary place of business is located for the tax ID noted above. Enter the valid two-character postal abbreviation of the holder's state (refer to State Codes, Appendix - 8, page 52).

15. HOLDER-CONTACT1

   The holder contact information in this section will be used by SCO to contact the holder with questions regarding the report.

   Enter a contact name, address, phone number, and phone extension (if applicable) of the person responsible for the report. This person should also be able to answer questions concerning the contents of the report, i.e., the person who created the report. A physical address for the holder that is reporting is mandatory. (For byte counts for the following sub-fields, refer to the Holder Record Format table in the appendix.)

   (a) NAME

      Enter the report contact person's name in the order of first, middle, and last.

   (b) ADDR1 – HOLDER STREET ADDRESS

      Enter the holder's street address.

   (c) ADDR2 – HOLDER P.O. BOX

      Enter the holder's post office box number.

   (d) ADDR3 – **This field is not used by California. Space fill.**

   (e) CITY – HOLDER CITY

      Enter the city. Do not use commas. If the address is outside the United States, list the province, etc., here.

   (f) STATE – HOLDER STATE

      Enter the two-character state postal abbreviation.

   (g) ZIP – HOLDER ZIP CODE

Enter the five or nine character zip code. If you use only the first five positions, space fill the remaining four positions, i.e., do NOT use zeros to fill the remaining positions. Do not include any hyphens in the zip code.

(h) COUNTRY – HOLDER COUNTRY

Enter the three-letter country abbreviation, e.g., USA.

(i) TELEPHONE

(1) TEL-AC – HOLDER AREA CODE

Enter the area code.

(2) TEL-NBR – HOLDER TELEPHONE

Enter the seven-digit telephone number.

(3) TEL-EXTENSION – HOLDER EXTENSION

Enter the telephone extension. Space fill if not applicable. Do NOT zero fill.

(j) EMAIL

Enter the email address for Contact 1.

16. HOLDER-CONTACT2

Enter the name, address, phone number and extension (if applicable), of the person responsible for responding to owner inquiries regarding property. This person will be contacted by potential owners concerning questions about their property, and the SCO will also refer owners to this person during the advertising/notification process.

IMPORTANT NOTE: California Statute requires the SCO to notice owners with accounts valued at $50 or more prior to the transfer of their property from the holder to the SCO. This property owner contact will be printed on the notices generated from the Holder Notice Report. Agent contact information is not recorded in the HOLDER-CONTACT2 field. Agent contact information is re-ported on the UFS-1. Please note that property owner contact information is not required on Holder Remit Reports.

(a) NAME

Enter the property owner contact name, in the order of first, middle, and last.

(b) ADDR1

Enter the street address of the property owner contact.

(c) ADDR2 – HOLDER P.O. BOX

Enter the holder's post office box number.

(d) ADDR3 – **This field is not used by California. Space fill.**

(e) CITY – HOLDER CITY

Enter the city. Do not use commas. If the address is outside the United States, list the province, etc. here.

(f) STATE

Enter the two-character state postal abbreviation. Please see State Codes, Appendix - 8, page 52 for a complete listing of NAUPA state codes

(g) ZIP

Enter the five or nine character zip code. If you use only the first five positions, space fill the remaining four positions, i.e., do NOT use zeros to fill the remaining positions. Do not include any hyphens in the zip code.

(h) COUNTRY

Enter the three-letter country abbreviation, e.g., USA.

(i) TELEPHONE

(1) TEL-AC HOLDER AREA CODE
Enter the area code.
(2) TEL-NBR – HOLDER TELEPHONE
Enter the seven-digit telephone number.
(3) TEL-EXTENSION
Enter the telephone extension. Space fill if not applicable. Do NOT zero fill.

(j) EMAIL - Enter the email address for Contact 2 (optional).

17. HOLDER-FAX (optional)

(a) HOLDER-FAX-AC
Enter the area code
(b) HOLDER-FAX-NBR
Enter the seven-digit telephone number

18. HOLDER-NAICS-CODE

Enter the NAICS code. A listing of acceptable values can be found at
http://www.census.gov/epcd/www/naics/html. Space fill if not used.

19. FILLER

Space fill

PROPERTY Record - Field Definitions/Specifications

There is one PROPERTY record for each piece of property. The PROPERTY record contains information about the piece of property and about the Primary Property Owner (if known). Each piece of property will have a separate PROPERTY record. If an owner has multiple pieces of property, there will be a separate PROPERTY record for each piece of property.

1. TR-CODE

   This field must contain "2" to denote that the record is a PROPERTY record.

2. PROP-SEQUENCE-NUMBER

   The sequence number for each record should be unique. The first property record for a holder should be "000001" for the PROP-SEQUENCE-NUMBER, and the sequence number should be incremented by one as other property records are added.

   If the Holder Report includes an AGGREGATE record, then the AGGREGATE record should be the first property record within a property type. The data in this field should be right aligned and zero filled.

3. PROP-OWNER-TYPE

   Enter "P" to denote primary owner information.

4. PROP-NAME-ID

   Enter "C" to identify the name on this record as a business name. Otherwise, space fill if there is an individual's name on this record.

5. PROP-OWNER-NAME-LAST

   Enter the owner's last name or the company name if it is a business.

   If the owner is a business, enter the business name exactly as adopted, except where the first word is "The." In this case, "The" should be placed at the end. For example: "The Smith Company" should be entered as "Smith Company The." Punctuation (periods, commas, apostrophes, etc.) should never be used under any circumstances. Do not abbreviate the first word of the company name, e.g., American vs. Amer, National vs. Natl. Also, do not use numeric values in the name field unless absolutely necessary. The word "first" should never be abbreviated as "1st." Exceptions can be made when a number is part of a company logo or registered trademark, such as A1 Inc or 84 Lumber. Company names containing initials should have spaces between them, e.g., J J Reynolds vs. JJ Reynolds.

   If the owner record is an aggregate, enter in this field "AGGREGATE." If the owner/owners are unknown, enter "UNKNOWN." California's aggregate amount is $49.99 and under.

Although California law allows holders to aggregate properties of $49.99 or less, holders are encouraged to report owner details when possible to assist in reuniting owners with their property.

6. PROP-OWNER-NAME-FIRST

   Enter the owner's first name.

7. PROP-OWNER-NAME-MIDDLE

   Enter the owner's middle name.

8. PROP-OWNER-NAME-PREFIX

   Enter the owner's prefix, such as M/M (for Mr. and Mrs.).

9. PROP-OWNER-NAME-SUFFIX

   Enter the owner's suffix, such as Jr, Sr, III.

10. PROP-OWNER-NAME-TITLE

    Enter the owner's title, such as Dr, Pvt, Rev.

11. PROP-OWNER-ADDRESS

    Enter the owner's last-known address. You must list the last known address even if the mail has been returned by the post office. When establishing whether the claimant is the rightful owner, confirmation of this address is very important. If the owner's street address is unknown, space fill. DO NOT fill with "UNKNOWN" or "ADDRESS UNKNOWN."

(a) ADDRESS1 – OWNER STREET ADDRESS

Enter the owner's last known street address.

(b) ADDRESS2 – ADDITIONAL OWNER ADDRESS

Enter any additional owner address information. If not applicable, space fill.

(c) ADDRESS3 – ADDITIONAL OWNER ADDRESS

Enter any additional owner address information. If not applicable, space fill.

12. PROP-OWNER-CITY

Enter the city of the last known address of the owner. If the owner's last known city is not in the United States, list the province, etc. If the owner's city is unknown, space fill. DO NOT fill with "UNKNOWN" or "CITY UNKNOWN."

13. PROP-OWNER-COUNTY

Enter the county name of the owner's last known address, or the holder's branch location or principal place of business in the reporting state. If the county name is unknown, space fill.

14. PROP-OWNER-STATE

Enter the standard two-character postal abbreviation of the owner's state of last-known address. If the owner's last known address is not in the United States, space fill. For a complete listing of state codes please see State Codes, Appendix - 8, page 51.

15. PROP-OWNER-ZIP

Enter the owner's five or nine character zip code. If five digits are used, space fill the remaining four positions, i.e., do NOT use zeros to fill the remaining positions. Do not include any hyphens in the zip code.

16. PROP-OWNER-COUNTRY

Enter the country of the last-known address of the owner, e.g., USA. For a link to a complete listing of country codes please see Country Codes, Appendix - 9, page 52.

17. PROP-OWNER-TAXID

Enter the owner's Social Security Number (SSN) or the company's Federal Employer Identification Number (FEIN). When establishing ownership, the SSN/FEIN is very important. This number will not be released as public information but will be used for identification purposes. Do not include any hyphens in the SSN or FEIN.

18. PROP-OWNER-TAXID-EXT

Enter the owner's SSN or FEIN extension, if applicable.

19. PROP-OWNER-DATE-OF-BIRTH

(a) PROP-OWNER-DOB-CCYY (four-digit year)
(b) PROP-OWNER-DOB-MM (two-digit month)
(c) PROP-OWNER-DOB-DD (two-digit day)

Enter the owner's date of birth. "CC" equals the century, "YY" equals the year, "MM" equals the numerical month, and "DD" equals the day.

20. PROP-STARTING-TRANSACTION-DATE

(a) PROP-ST-TRANS-DATE-CCYY (four-digit year)

(b) PROP-ST-TRANS-DATE-MM (two-digit month)

(c) PROP-ST-TRANS-DATE-DD (two-digit day)

This field is mandatory. The PROP-STARTING-TRANSACTION-DATE (also known as the date of last transaction, or last activity date) is the date on which the last deposit or withdrawal occurred, the date the mail was returned, or the date on which the property became payable, redeemable, dormant, or returnable (e.g., issue date of a check).

Enter the date of last contact with owner. "CC" equals the century, "YY" equals the year, "MM" equals the numerical month, and "DD" equals the day. If your records reflect a month and/or year only, enter the available information and use "01"s for the unknown data (e.g., 20000601 or 20000101).

If you are reporting property with periodic payments such as dividends, oil and gas royalties, or commission checks, enter the beginning date on which the amounts were payable. Enter the ending date of the payments in the PROP-ENDING-TRANSACTION-DATE field (see below). Total all amounts due the owner during the applicable time period and list the payments as one account on the owner record.

21. PROP-ENDING-TRANSACTION-DATE

(a) PROP-EN-TRANS-DATE-CCYY (four digits)

(b) PROP-EN-TRANS-DATE-MM (two digits)

(c) PROP-EN-TRANS-DATE-DD (two digits)

Refer to number 20 above. Enter in this field the date of the last periodic payment. This field is used **only** if the property reported is from periodic payments. Zero fill if

not applicable.

22. PROP-PROPERTY-TYPE

The property type code distinguishes one property type from another. All codes are four characters. Refer to the Appendix for the appropriate code.

23. PROP-AMOUNT-REPORTED

Enter the amount due the owner **before** any deductions, such as taxes, were subtracted. The amount reported is a 10-digit, zero fill field with two decimal places assumed. The decimal point is not actually entered.

Examples: $253 = 0000025300, $253.73 = 0000025373

24. PROP-DEDUCTION-TYPE

Enter the code which describes the reason for the deduction in the gross amount due the owner. Refer to the Appendix for deduction codes.

California allows deductions only for service charges, as indicated in the Appendix table for deduction codes. If service charges apply, enter the code for service charge, SW (see Appendix). If no service charge applies, space fill.

25. PROP-DEDUCTION-AMOUNT

Enter the amount of the deduction to be subtracted from the gross amount due to the owner. The amount deducted is a 10-digit, zero fill field with two decimal places assumed. The decimal point is not actually entered. DO NOT enter it as a negative.

Examples: $253 = 0000025300, $253.73 = 0000025373

26. PROP-AMOUNT-ADVERTISED

Enter the total amount due the owner after the deductions, i.e., PROP-AMOUNT-REPORTED minus PROP-DEDUCTION-AMOUNT. The amount advertised is a 10-digit, zero fill field with two decimal places assumed. The decimal point is not actually entered. Examples: $253 = 0000025300, $253.73 = 0000025373.

27. PROP-ADDITION-TYPE (N/A on Holder Notice Report)

Enter the two-character code which describes the reason for the additional amount/ shares reported due the owner, i.e., to be added to the original reported amount due the owner. Refer to the Appendix for the addition codes.

NOTE: This field is being used for both money and securities being reported. If there is an increase in the original amount, whether in securities or money, this field should be populated.

28. PROP-ADDITION-AMOUNT (N/A on Holder Notice Report)

Enter the amount of any additions, e.g., interest or dividends, to be added to the

original reported amount due the owner. This line may also be used to correct the reported amount if there was any error on the initial reported amount. The added amount is a 10-digit, zero fill field with two decimal places assumed. The decimal point is not actually entered.

Examples: $253 = 0000025300, $253.73 = 0000025373

29. PROP-DELETION-TYPE (N/A on Holder Notice Report)

Enter the two-character code which describes the reason as to the amount of shares or safe keeping items that are being deleted. Refer to the Appendix for deletion codes.

For those properties which have been reactivated or refunded since the filing of the Holder Notice Report, holders have the option of either using the appropriate Paid or Deletion code or deleting the account information from the report. Please note that the newly revised UFS-1 form includes an affirmation that all properties not listed on the Holder Remit Report, which were initially included on the Notice Report, are absent due to the property being reactivated or returned to the rightful owner.

NOTE: This field is being used for money, securities, and safekeeping items being reported. If there is a complete removal of the original amount, shares, or items, this field should be populated.

30. PROP-DELETION-AMOUNT (N/A on Holder Notice Report)

If the property has been claimed by the owner, or the account has been reactivated, or the owner's property was reported in error, enter the amount that was originally reported on the Holder Notice Report, i.e., PROP-AMOUNT-ADVERTISED. The amount reported is a 10-digit, zero fill field with two decimal places assumed. The decimal point is not actually entered. DO NOT enter as a negative.

Examples: $253 = 0000025300, $253.73 = 0000025373

Holders also have the option of deleting the account information from the report. Please note that the newly revised UFS-1 form includes an affirmation that all properties not listed on the Holder Remit Report, which were initially included on the Notice Report, are absent due to the property being reactivated or returned to the rightful owner.

31. PROP-AMOUNT-REPORTED/REMITTED (N/A on Holder Notice Report)

Enter the total amount, after appropriate additions and deletions, to be reported or remitted to the state.

For those properties which have been reactivated or refunded since the filing of the Holder Notice Report, holders have the option of either using the appropriate Paid or Deletion code or deleting the account information from the report. Please note that

the newly revised UFS-1 form includes an affirmation that all properties not listed on the Holder Remit Report, which were initially included on the Notice Report, are absent due to the property being reactivated or returned to the rightful owner.

32. PROP-INTEREST-FLAG

If the property is interest-bearing, the PROP-INTEREST-FLAG should be "Y." Otherwise, the FLAG will indicate "N."

33. PROP-INTEREST-RATE

If the PROP-INTEREST-FLAG indicator is set to "Y," this field should be populated with the current interest rate being earned on this account. The interest rate is a seven digit, zero filled field, with four decimal places assumed. The decimal is not actually entered.

Examples: 5.00% would be entered as 0050000, 10.25% would be entered as 0102500, 2.275% would be entered as 0022750.

34. PROP-STOCK-ISSUE-NAME

Enter the original name of the security issue that is due to the owner. **Do not** enter more than one issue per owner record. (For example, brokers must provide one property record for each issue held in an owner's account.) If this is a redemption, this field should contain the name of the successor. Make sure to indicate the type of stock if it is other than common.

35. PROP-STOCK-CUSIP

Enter the CUSIP number of the security issue named in number 34 above that is due to the owner, i.e., this is what you will be remitting to the state. **The entry must be a valid stock exchange CUSIP.**

36. PROP-NUMBER-OF-SHARES

Enter the number of shares that are due to the owner, i.e., this is the total number of shares due to the owner for this issue. The number of shares is a 12-digit field with four decimal places assumed. The last decimal point must always end in zero; therefore, calculate the number of shares to three decimal points and add a zero to the end. The decimal point is not actually entered.

Examples: 543 = 000005430000, 543.73 = 000005437300, 1,543.733 = 000015437330

37. PROP-ADD-SHARES **–** (N/A to Holder Notice Report)

Enter the number of shares which have been added since the original (advertising) report, i.e., this is the amount that will be added to the total number of shares originally reported for the owner of this issue. The number of shares is a 12-digit field with four decimal places assumed. The decimal point is not actually entered.

Examples: 543 = 000005430000, 543.73 = 000005437300, 1,543.7334 = 000015437334

NOTE: If this field is greater than zero, you must use the corresponding field number 27 PROP-ADDITION-TYPE. An example of when to use this field is when a stock split or stock dividend occurs before the property is remitted.

38. PROP-DEL-SHARES **–** (N/A to Holder Notice Report)

Enter the number of shares which have been deleted since the original Notice Report. This includes those shares which have been reactivated or reunited with the rightful owner as well as those reported in error. This amount will be subtracted from the total number of shares due to the owner.

The number of shares is a 12-digit field with four decimal places assumed. The decimal point is not actually entered.

Examples: 543 = 000005430000, 543.73 = 000005437300, 1,543.7334 = 000015437334

Holders also have the option of deleting the account information from the report. Please note that the Holder Universal Face Sheet (UFS-1) form includes an affirmation that all properties not listed on the Holder Remit Report, which were initially included on the Notice Report, are absent due to the property being reactivated or returned to the rightful owner.

NOTE: If this field is greater than zero, you must populate the corresponding field number 29 PROP-DELETION-TYPE. An example of when to use this field is when a reverse stock split or cash merger occurs before the property is remitted.

39. PROP-REM-SHARES **–** (N/A on Holder Notice Report)

Enter the total amount, after appropriate additions and deletions, to be reported or remitted to the state.

40. PROP-UNEXCHANGED-ISSUE-NAME

Enter the name of the security issue which is still in the possession of the owner.

41. PROP-UNEXCHANGED-CUSIP

Enter the CUSIP number of the security issue which is still in possession of the owner.

42. PROP-UNEXCHANGED-SHARES

Enter the number of shares which are still in the possession of the owner. The number of shares is a 12-digit field with four decimal places assumed. The decimal point is not actually entered.

Examples: 543 = 000005430000, 543.73 = 000005437300, 1,543.7334 = 00015437334

43. PROP-ACCT-NUMBER

Always enter the insurance policy or account number in this field.

Substitute the owner number if reporting mineral proceeds.

Substitute the GF number if it is an escrow account.

Substitute the box number if reporting safe deposit box contents.

44. PROP-CHECK-NUMBER

Provide the check number if you're reporting cashier's checks or any other outstanding checks.

45. PROP-DESCRIPTION

Any additional information that will assist in identifying the owner of the property should be listed in the property description field. Information (such as the purchaser of a cashier's check, lease name of a mineral interest, or beneficiary of an insurance policy) should be listed in the property description. If you are reporting insurance related property, please specify "L" for life insurance, "PC" for property and casualty insurance, or "AH" for accident and health insurance.

If you are reporting an aggregate amount, list the number of properties which were combined for the aggregate entry, e.g., 15-AC01, 10-AC02, 45-CK01.

46. PROP-RELATIONSHIP-CODE

This field must be populated. The PROP-RELATIONSHIP-CODE indicates who may claim the property. Refer to the Appendix for relationship codes.

47. PROP-OWNER-TYPE-CODE

This field must be populated. The PROP-OWNER-TYPE-CODE indicates the type of owner. Refer to the Appendix for owner type codes.

48. FILLER

Space fill.

PROPADD Record - Field Definitions/Specifications

The PROPADD record contains information about additional owners of property recorded in the PROPERTY record. If there is more than one owner of a piece of property, each additional owner of the property will have a PROPADD record. PROPADD records must be contained within the same HOLDER/SUMINFO record set.

1. TR-CODE

    This field must contain "3" to denote that the record is a PROPADD record.

2. PADD-SEQUENCE-NUMBER

    This field will contain the PROP-SEQUENCE-NUMBER from the primary

    PROPERTY record.

3. PADD-OWNER-TYPE

    This field should contain "A" to denote additional owner information.

4. PADD-OWNER-NAME-LAST

    Enter the owner's last name or the company name if it is a business.

    If the owner is a business, enter the business name exactly as adopted, except where the first word is "The." In this case, "The" should be placed at the end. For example: "The Smith Company" should be entered as "Smith Company The." Punctuation (periods, commas, apostrophes, etc.) should never be used under any circumstances. Do not abbreviate the first word of the company name, e.g., American vs. Amer, National vs. Natl. Also, do not use numeric values in the name field unless absolutely necessary. The word "first" should never be abbreviated as "1st." Exceptions can be made when a number is part of a company logo or registered trademark, such as A1 Inc or 84 Lumber. Company names containing initials should have spaces between them, e.g., J J Reynolds vs. JJ Reynolds.

    Although California law allows holders to aggregate properties of $49.99 or less, holders are encouraged to report owner details when possible to assist in reuniting owners with their property.

5. PADD-OWNER-NAME-FIRST

    Enter the owner's first name.

6. PADD-OWNER-NAME-MIDDLE

    Enter the owner's middle name.

7. PADD-OWNER-NAME-PREFIX

    Enter the owner's prefix, such as M/M (for Mr. and Mrs.).

8. PADD-OWNER-NAME-SUFFIX

Enter the owner's suffix, such as Jr, Sr, III.

9. PADD-OWNER-NAME-TITLE

Enter the owner's title, such as Dr, Pvt, Rev.

10. PADD-OWNER-ADDRESS

Enter the owner's last known address. You must list the last known address even if the mail has been returned by the post office. When establishing whether the claimant is the rightful owner, confirmation of this address is very important.

(a) ADDRESS1 – OWNER STREET ADDRESS

Enter the owner's last known street address.

(b) ADDRESS2 – ADDITIONAL OWNER ADDRESS

Enter any additional owner address information. If not applicable, space fill.

(c) ADDRESS2 – ADDITIONAL OWNER ADDRESS

Enter any additional owner address information. If not applicable, space fill.

11. PADD-OWNER-CITY

Enter the city of the last known address of the owner. If the owner's last-known city is not in the United States, list the province, etc.

12. PADD-OWNER-COUNTY

Enter the county name of the owner's last known address, or the holder's branch location, or principal place of business in the reporting state. If the county name is unknown, space fill.

13. PADD-OWNER-STATE

Enter the standard two-character postal abbreviation of the owner's state of last known address. If the owner's last known address is not in the United States, fill with blanks. For a complete listing of state codes, please see State Codes, Appendix - 8, page 52.

14. PADD-OWNER-ZIP

Enter the owner's five or nine digit zip code. Do not include any hyphens.

15. PADD-OWNER-COUNTRY

Enter the country of the last-known address of the owner, e.g., USA.

16. PADD-OWNER-TAXID

Enter the owner's SSN or the company's FEIN. When establishing ownership, the SSN/FEIN is very important. This number will not be released as public information but will be used for identification purposes. Do not include any hyphens.

17. PADD-OWNER-TAXID-EXT

Enter the owner's SSN or FEIN extension, if applicable. Do not include any hyphens.

18. PADD-OWNER-DATE-OF-BIRTH

(a) PADD-OWNER-DOB-CCYY (four digit year)

(b) PADD-OWNER-DOB-MM (two digit month)

(c) PADD-OWNER-DOB-DD (two digit day)

Enter the owner's date of birth. "CC" equals the century and "YY" equals the year, "MM" equals the numerical month, "DD" equals the day.

19. PADD-RELATIONSHIP-CODE

This field must be populated. The PADD-RELATIONSHIP-CODE indicates who must claim the property. Refer to the Appendix for relationship codes.

20. PADD-SEQ-NUMBER

This number is incremented by ONE for each additional owner of the property denoted by the PADD-SEQUENCE-NUMBER. For example, a piece of property has two owners in addition to the primary owner. The record for the first additional owner has a PADD-SEQ-NUMBER of "001," and the record for the second additional owner has a PADD-SEQ-NUMBER of "002."

21. PADD-OWNER-TYPE-CODE

This field must be populated. The PADD-OWNER-TYPE-CODE indicates the type of owner. Refer to the Appendix for owner codes.

22. PADD-NAME-ID

Enter "C" to identify the name on this record as being a business name. Space fill if this is an individual's name on this record.

23. FILLER

Space fill.

SECURITIES Record - Field Definitions/Specifications

If other securities related information exists, there will be one SECURITIES record included after each PROPERTY record.

1. TR-CODE

   This field must contain "5" to denote that the record is a SECURITIES record.

2. PROP-SEQUENCE-NUMBER

   This field will contain the same PROP-SEQUENCE-NUMBER from the primary PROPERTY record.

3. SECR-SUBISSUE-NAME

   Enter the Security Sub-Issue Name

4. SECR-ORIGINAL-SHRS-HELD

   This field contains the original shares held by the owner at the time of last activity on the account. This number is used to help determine the proof required for the claimant.

5. SECR-ORIGINAL-REG-NAME

   This field records the owner name EXACTLY as shown on the certificate of registration.

6. SECR-DELIVERY-METHOD

   This field contains the method used to deliver securities to the State. Valid values are DTC, Physical, Account, and UNT.

7. SECR-CERTIFICATE

   This field contains the original certificate number of underlying or un-exchanged or RPO'd shares.

8. SECR-SYMBOL

   Enter the Symbol if the security is traded on a stock exchange.

9. SECR-DEPOSIT-ACCOUNT

   Enter the Account Number the Security is deposited to, if applicable.

10. SECR-MUTL-FAMILY

    If the Security is a Mutual Fund, enter the Fund Family Name.

11. FILLER

    Space fill.

TANGIBLE Record - Field Definitions/Specifications

If tangible property information exists, there will be one TANGIBLE record included after each PROPERTY record. If you're reporting more than one TANGIBLE record for an individual owner, each TANGIBLE record must follow its own property record.

1. TR-CODE

   This field must contain "6" to denote that the record is a TANGIBLE type property record.

2. PROP-SEQUENCE-NUMBER

   This field will contain the PROP-SEQUENCE-NUMBER from the primary PROPER-TY record.

3. TANG-SEQUENCE-NUMBER

   Increment by 1 for each additional piece of tangible property denoted by the TANG-SEQUENCE-NUMBER. For example, an individual property has two pieces of tangible property. The record for the first piece of tangible property has a TANG-SEQUENCE-NUMBER of "001." The record for the second piece of tangible proper-ty has a TANG-SEQUENCE - NUMBER of "002."

   A valid value is 001. There must be a separate property record for each tangible property.

4. TANG-BOX-NUMBER

   Enter the number of the safe deposit box, the collateral receipt number if loan collat-eral, or other identifying number for any other type of tangible property.

5. TANG-DESCRIPTION

   The description of the tangible property identified by each TANG-SEQUENCE-NUMBER.

6. TANG-UNPAID-RENT

   Enter the amount of unpaid rent or storage fees due from the owner at the time the box was opened.

7. TANG-DRILLING-FEES

   Enter the charges incurred to drill or open a safe deposit box or the unpaid loan bal-ance, if loan collateral.

8. TANG-OPENED-DATE

   The date the Safekeeping Repository or Safe Deposit Box was opened.

   (a) TANG-OPENED-DATE-CCYY (four digit year)

   (b) TANG-OPENED-DATE-MM (two digit month)

   (c) TANG-OPENED-DATE-DD (two digit day)

9. TANG-OPENED-BY

   Enter the name of the person who opened the safe deposit box.

10. TANG-EXPIRED-DATE

    Enter the date the safe-deposit box lease expired.

    (a) TANG-EXPIRED-DATE-CCYY (four-digit year)

    (b) TANG- EXPIRED-DATE-MM (two-digit month)

    (c) TANG- EXPIRED-DATE-DD (two-digit day)

    Enter the owner's date of birth. "CC" equals the century, "YY" equals the year, "MM" equals the numerical month, and "DD" equals the day.

11. TANG-CATEGORY-TYPE-CODE (N/A on Advertising Report)

    Not required for Advertising Report, space fill. For the Remit Report, use the appropriate tangible type code. For a complete listing of tangible type codes see the Appendix.

12. FILLER

    Space fill.

SUMINFO Record - Field Definitions/Specifications

There will be one SUMINFO record included at the end of each holder report record set. It will contain summary information that will be used for balancing purposes and to verify completeness of the records reported.

1. TR-CODE

   This field must contain "9" to denote that the record is a SUMINFO record.

2. SUMM-NBR-OF-RECORDS

   This field should contain the total number of records reported, including the HOLDER, PROPERTY, PROPADD, and SUMINFO records. The number of records is a six-digit field. The quantity recorded is always a whole number, i.e., no decimal posi-

tions. The minimum amount of records is two, HOLDER and SUMINFO. A two-record file represents a negative report, i.e., no owners reported.

3. SUMM-NBR-OF-PROPERTIES

    This field should contain the total number of PROPERTY records. The number of property records is a six-digit field. The quantity recorded is always a whole number, i.e., no decimal positions.

4. SUMM-AMOUNT-REPORTED

    This field should be the sum of the amount in the PROP-AMOUNT-REPORTED field on each PROPERTY record. The amount reported is a 12-digit field with two decimal places assumed. The decimal point is not actually entered.

    Example: $1,150,125.26 = 000115012526

5. SUMM-DEDUCTION-AMOUNT

    This field should be the sum of the amount in the PROP-DEDUCTION-AMOUNT field on each PROPERTY record. The deducted amount is a 12-digit field with two decimal places assumed. The decimal point is not actually entered. DO NOT enter as a negative.

    Example: $1,150,125.26 = 000115012526

6. SUMM-AMOUNT-ADVERTISED

    This field should be the sum of the amount in the PROP-AMOUNT-ADVERTISED field on each PROPERTY record. The deducted amount is a 12-digit field with two decimal places assumed. The decimal point is not actually entered.

    Example: $1,150,125.26 = 000115012526

7. SUMM-ADDITION-AMOUNT – (N/A on Holder Notice Report)

    This field should be the sum of the amount in the PROP-ADDITION-AMOUNT field on each PROPERTY record. The added amount is a 12-digit field with two decimal places assumed. The decimal point is not actually entered.

    Example: $1,150,125.26 = 000115012526

8. SUMM-DELETION-AMOUNT – (N/A on Holder Notice Report)

    This field should be the sum of the amount in the PROP-DELETION-AMOUNT field on each PROPERTY record. The deleted amount is a 12-digit field with two decimal places assumed. The decimal point is not actually entered. DO NOT enter as a negative.

    Example: $1,150,125,26 = 000115012526

9. SUMM-AMOUNT-REMITTED – (N/A on Holder Notice Report)

This field should be the sum of the amount in the PROP-AMOUNT-REMITTED field on each property record. The amount remitted is a 12-digit field with two decimal places assumed. The decimal point is not actually entered.

Example: $1,150,125.26 = 000115012526

10. SUMM-NBR-OF-SHARES – (N/A on Holder Notice Report)

This field should be the sum of the amount in the PROP-NUMBER-OF-SHARES field on each PROPERTY record. The number of shares is a 14 digit field with four decimal places assumed. The decimal point is not actually entered.

Example: 124256.5984 = 00001242565984

11. SUMM-SHARES-ADD – (N/A on Holder Notice Report)

This field should be the sum of the amount in the PROP-ADD-SHARES field on each PROPERTY record. The number of shares is a 14-digit field with four decimal places assumed. The decimal point is not actually entered.

Example: 124256.5984 = 00001242565984

12. SUMM-SHARES-DEL – (N/A on Holder Notice Report)

This field should be the sum of the amount in the PROP-DEL-SHARES field on each PROPERTY record. The number of shares is a 14-digit field with four decimal places assumed. The decimal point is not actually entered.

Example: 124256.5984 = 00001242565984

13. SUMM-SHARES-REMITTED – (N/A on Holder Notice Report)

This field should be the sum of the amount in the PROP-REM-SHARES field on each PROPERTY record. The number of shares is a 14-digit field with four decimal places assumed. The decimal point is not actually entered.

Example: 124256.5984 = 00001242565984

14. SUMM-NEGATIVE-REPORT

If the report is a Negative Report (No cash or shares to report for the reporting period), this field should contain "Y." If this field contains "Y", only the HOLDER (type 1) and the SUMINFO (type 9) records should be included. If it is not a Negative Report, enter "N".

15. SUMM-SOFTWARE-VERSION

Enter the version number of the software that created the NAUPA file.

16. SUMM-CREATOR

Enter the company that wrote the software that created the file.

17. SUMM-CREATOR-CONTACT

Enter the name and contact information for the file creator.

18. FILLER

Space fill.

Appendix

1. NAUPA Codes
2. Tangible Codes
3. Holder Record Format
4. Property Record Format
5. Additional Owner Record Format
6. Securities Information Record Format
7. Summary Record Format
8. State Codes
9. Links to Country and NAICS Codes

NAUPA Standard Electronic File Format Codes
The following tables represent the NAUPA Standard information used by California.

Deduction and Withholding Codes	
SW	Service Charge
IW	Interest Withheld or Discontinued
TW	Income Tax Withheld
DW	Dividends Withheld or Discontinued
MC	Mailing Cost
ZZ	Deduction Code Not Identified Above (Not allowed by California)
Addition Codes	
DV	Dividends Earned
ER	Reported in Error on Advertising Report
IN	Interest Earned
ME	Additional Royalty or other Mineral Interest Payments
SP	Stock Split
ZZ	Addition Code Not Identified Above (Not allowed by California)
Paid or Deletion Codes	
RO	Returned to Owner
ER	Erroneously Reported
RS	Reverse Stock Split
ZZ	Deletion Code not Identified Above (Not allowed by California)
Relationship Codes	
SO	Sole Owner
AD	Administrator
AF	Attorney For
AG	Agent For
AN	And

Relationship Codes (cont.)	
BF	Beneficiary
OR	Or
AO	And / Or
CC	Co-Conservator
CF	Custodian For
CN	Conservator
FB	For Benefit of
IN	Insured
TE	As Trustee For
EX	Executor or Executrix
JT	Joint Tenants with Rights of Survivorship
JC	Joint Tenants in Common
PA	Payee
PO	Power of Attorney
RE	Remitter
UG	Uniform Gift to Minors Act (UGMA)
GR	Guardian For
Property Type Codes	
AC01	Checking Accounts
AC02	Savings Accounts
AC03	Mature CD or Save Cert
AC04	Christmas Club Funds
AC05	Money on deposit to secure fund
AC06	Security Deposit
AC07	Unidentified Deposit
AC08	Suspense Accounts
AC99	Aggregate Account Balances
CK01	Cashier's Checks
CK02	Certified Checks
CK03	Registered Checks
CK04	Treasurer's Checks

Property Type Codes (cont.)	
CK05	Drafts
CK06	Warrants
CK07	Money Orders
CK08	Traveler's Checks
CK09	Foreign Exchange Checks
CK10	Expense Checks
CK11	Pension Checks
CK12	Credit Checks or Memos
CK13	Vendor Checks
CK14	Checks Written off to Income
CK15	Other Outstanding Official Checks
CK16	CD Interest Checks
CK99	Aggregate Uncashed Checks
CT01	Escrow Funds
CT02	Condemnation Awards
CT03	Missing Heirs' Funds
CT04	Suspense Accounts
CT05	Other Court Deposits
CT99	Aggregate Court Deposit
HS01	Health Savings Account
HS02	Health Savings Account Investment
IN01	Individual Policy Benefits or Claim Payments
IN02	Group Policy Benefits or Claim Payments
IN03	Proceeds Due Beneficiaries
IN04	Proceeds from Matured Policies, Endowments or Annuities
IN05	Premium Refunds
IN06	Unidentified Remittances
IN07	Other Amounts Due Under Policy Terms
IN08	Agent Credit Balances
IN99	Aggregate Insurance Property
IR01	IRA (Traditional, SEP SARSEP and SIMPLE) Cash
IR02	IRA (Traditional, SEP SARSEP and SIMPLE) Mutual Funds

Property Type Codes (cont.)	
IR03	IRA (Traditional, SEP SARSEP and SIMPLE) Securities
IR05	Roth IRA Cash
IR06	Roth IRA Mutual Funds
IR07	Roth IRA Securities
MI01	Net Revenue Interest
MI02	Royalties
MI03	Overriding Royalties
MI04	Production Payments
MI05	Working Interest
MI06	Bonuses
MI07	Delay Rentals
MI08	Shut-in Royalties
MI09	Minimum Royalties
MI99	Aggregate Mineral Proceeds
MS01	Wages, Payroll, Salary
MS02	Commissions
MS03	Workers Compensation Benefits
MS04	Payments For Goods & Services
MS05	Customer Overpayments
MS06	Unidentified Remittances
MS07	Unrefunded Overcharges
MS08	Accounts Payable
MS09	Credit Balance -- Accounts Receivable
MS10	Discounts Due
MS11	Refunds Due
MS12	Unredeemed Gift Certificates
MS13	Unclaimed Loan Collateral
MS14	Pension & Profit Sharing
MS15	Dissolution or Liquidation
MS16	Misc. Outstanding Checks
MS17	Misc. Intangible Property

Property Type Codes (cont.)	
MS18	Suspense Liabilities
MS99	Aggregate Misc Property
SC01	Dividends
SC02	Interest (Bond Coupons)
SC03	Principal Payments
SC04	Equity Payments
SC05	Profits
SC06	Funds Paid to Purchase Shares
SC07	Funds for Stocks and Bonds
SC08	Shares of Stock (Returned by Post Office)
SC09	Cash for Fraction Shares
SC10	Unexchanged Stock of Successor Corp
SC11	Other Cert of Ownership
SC12	Underlying Shares or other Outstanding Certificates
SC13	Funds for Liquidation / Redemption of Un-surrendered Stock or Bonds
SC14	Debentures
SC15	U S Govt Securities/Bonds
SC16	Mutual Funds Shares
SC17	Warrant (Rights)
SC18	Mature Bond Principal
SC19	Dividend Reinvestment Plans
SC20	Credit Balances
SC50	Municipal Bonds
SC52	Municipal Bond Earnings
SC54	Shares Exchanged for Shares
SC56	Units
SC99	Aggregate Security Related Cash (**Not allowed by California)**
SD01	SD Box Contents
SD02	Other Safekeeping
SD03	Other Tangible Property
TR01	Paying Agent Account

Property Type Codes (cont.)	
TR02	Undelivered or Uncashed Dividends
TR03	Funds held in Fiduciary Capacity
TR04	Escrow Accounts
TR05	Trust Vouchers
TR99	Aggregate Trust Property
UT01	Utility Deposits
UT02	Membership Fees
UT03	Refunds Or Rebates
UT04	Capital Credit Distributions
UT99	Aggregate Utilities
ZZZZ	Properties Not Identified Above
Owner Type Codes	
OT	All Owners except Aggregate or Unknown
UN	Unknown Owner (no name available)
AG	Aggregate Owner
DISP	Disputed Funds
Security Delivery Codes	
DTC	Direct Transfer
PHYSICAL	Physical Certificate Delivery
ACCOUNT	Registration of Account Only
UNT	Securities Not Transferable

Tangible Type Codes (Safekeeping Codes)

CODE	DESCRIPTION
BOND	Savings Bonds
BRAC	Bracelet
CHRM	Charms
CNBK	US Coin Books
COIN	US Coins
COMM	Commemorative Items
CSET	US Coin Sets
CTFT	Counterfeit Items
CTRB	Contraband - Drug Related
CUFF	Cufflink
EARR	Earrings
FLAT	Flatware/Serving Pieces
FMIL	Foreign Military Items
FOBK	Foreign Coin Books/Sets
FOCO	Foreign Coins
FOCU	Foreign Currency
FOGC	Foreign Gold Coins
FOPC	Foreign Platinum Coin Sets
GBAR	Gold Bar
GEMS	Gem Stones - Loose
GOCO	Gold, Silver, Platinum Coins
HM	Hazardous Materials
JEWL	Jewelry - Other
LDOC	No-Value Legal Documents
MED	No-Value Media (Photos, CD's, Video's)
MIL	U.S. Military Items
MISC	Miscellaneous Items of Value

Tangible Type Codes (Safekeeping Codes) (cont.)	
MPAP	No-Value Miscellaneous Papers
NECK	Necklace
NVOT	No-Value Other Tangibles (Misc.)
ODOC	No-Value Other Documents
PCOL	Paper Collectibles/Books/Etc.
PIN	Pin
RING	Ring
SBAR	Silver or Platinum Bars
SPRT	Sports Memorabilia
STCK	Stock Certificates
STMP	Stamps
TCC	Traveler's/Cashier's Checks
TIME	Time Piece
USCU	US Currency—All
USGC	US Gold Coins
USGS	US Gold Sets
USPC	US Platinum Coin Sets
VS	No-Value Vital Statistics
WCOL	Collectible Weapons
WPNF	Weapons/Firearm Related

NAUPA Standard Electronic File Format
Holder Record Format

Field Number	Field Name	Number of Positions	From	Through	Type Class	Mandatory Required Optional	Acceptable Value (V) Comments / Edits
1	TR-CODE	1	1	1	N	M	(V) = "1"
2	HOLDER-TAXID	9	2	10	N	M	
3	HOLDER-TAXID-EXT	4	11	14	N	R	See Definitions
4	HOLDER-RPT-YEAR	4	15	18	C	M	
5	HOLDER-RPT-TYPE	1	19	19	C	M	A or R
6	HOLDER-RPT-NUMBER	2	20	21	C	M	(V) = 01-99
7	HOLDER-RPT-FORMAT	1	22	22	C	M	R
8	HOLDER-SIC-CODE	4	23	26	N	R	(V) = 0111 -9999
9	HOLDER-INCORPORATED-STATE	2	27	28	C	R	Appendix
10(a)	HOLDER-INC-DATE-CCYY	4	29	32	N	R	(V) = 1000 -9999
10(b)	HOLDER-INC-DATE-MM	2	33	34	N	R	(V) = 01-12
10(c)	HOLDER-INC-DATE-DD	2	35	36	N	R	(V) = 01-31
11	HOLDER-NAME	40	37	76	C	M	(V) = A-Z/0-9/ SPACE/&
12	HOLDER-CITY	30	77	106	C	R	(V) = A-Z/0-9/Space
13	HOLDER-COUNTY	20	107	126	C	R	(V) = A-Z
14	HOLDER-STATE	2	127	128	C	R	Appendix
15(a)	HOLDER-CONTACT1-NAME	40	129	168	C	M	
15(b)	HOLDER-CONTACT1-ADDR1	30	169	198	C	M	
15(c)	HOLDER-CONTACT1-ADDR2	30	199	228	C	M	
15(d)	HOLDER-CONTACT1-ADDR3	30	229	258	C	M	
15(e)	HOLDER-CONTACT1-CITY	30	259	288	C	M	(V) = A-Z/0-9/Space
15(f)	HOLDER-CONTACT1-STATE	2	289	290	C	M	Appendix
15(g)	HOLDER-CONTACT1-ZIP	9	291	299	C	M	Left justify, space fill

Holder Record Format (continued)

Field Number	Field Name	Number of Positions	From	Through	Type Class	Mandatory Required Optional	Acceptable Value (V) Comments / Edits
15(h)	HOLDER-CONTACT1-COUNTRY	3	300	302	C	M	Appendix
15(i)(1)	HOLDER-CONTACT1-TEL-AC	3	303	305	N	M	
15(i)(2)	HOLDER-CONTACT1-TEL-NBR	7	306	312	N	M	
15(i)(3)	HOLDER-CONTACT1-TEL-EXTENSION	4	313	316	C	O	Space Fill
15(j)	HOLDER-CONT`ACT1-EMAIL	50	317	366	N	O	Space Fill
16(a)	HOLDER- CONTACT2-NAME	40	367	406	C	M	
16(b)	HOLDER-CONTACT2-ADDR1	30	407	436	C	M	
16(c)	HOLDER- CONTACT2-ADDR2	30	437	466	C	M	
16(d)	HOLDER-CONTACT2-ADDR3	30	467	496	C	M	
16(e)	HOLDER- CONTACT2-CITY	30	497	526	C	M	(V) = A-Z/0-9/ Space
16(f)	HOLDER-CONTACT2-STATE	2	527	528	C	M	Appendix
16(g)	HOLDER- CONTACT2-ZIP	9	529	537	C	M	Left justify, space fill
16(h)	HOLDER- CONTACT2-COUNTRY	3	538	540	C	M	Appendix
16(i)(1)	HOLDER-CONTACT2-TEL-AC	3	541	543	N	M	
16(i)(2)	HOLDER- CONTACT2-TEL-NBR	7	544	550	N	M	
16(i)(3)	HOLDER- CONTACT2-TEL-EXTENSION	4	551	554	C	O	Space fill

Holder Record Format (continued)

Field Number	Field Name	Number of Positions	From	Through	Type Class	Mandatory Required Optional	Acceptable Value (V) Comments / Edits
16(j)	HOLDER-CONTACT2-EMAIL	50	555	604	C	O	Space Fill
17(1)	HOLDER-FAX-AC	3	605	607	N	O	
17(2)	HOLDER-FAX-NBR	7	608	614	N	O	
18	HOLDER-NAICS-CODE	6	615	620	C	R	
19	FILLER	5	621	625	C	M	Space fill

NAUPA Standard Electronic File Format
Property Record Format

Field Number	Field ID	Number Of Positions	From	Through	Type Class	Mandatory Required Optional	Acceptable Values (V) Comments / Edits
1	TR-CODE	1	1	1	N	M	(V) =2
2	PROP-SEQUENCE-NUMBER	6	2	7	N	M	(V)=000001-999999
3	PROP-OWNER-TYPE	1	8	8	C	M	(V) =P
4	PROP-NAME-ID	1	9	9	C	M	(V)=C Or space
5	PROP-OWNER-NAME-LAST	40	10	49	C	M	(V)=A-Z/0-9/Space/&
6	PROP-OWNER-NAME-FIRST	30	50	79	C	R	(V)=A-Z/0-9/Space/&
7	PROP-OWNER-NAME-MIDDLE	10	80	89	C	R	(V)=A-Z/0-9/Space/&
8	PROP-OWNER-NAME-PREFIX	10	90	99	C	R	(V)=A-Z/0-9/Space/&
9	PROP-OWNER-NAME-SUFFIX	10	100	109	C	R	(V)=A-Z/0-9/Space/&
10	PROP-OWNER-NAME-TITLE	6	110	115	C	R	(V)=A-Z/0-9/Space/&
11(a)	PROP-OWNER-ADDRESS1	30	116	145	C	R	(V)=A-Z/0-9/Space/&
11(b)	PROP-OWNER-ADDRESS2	30	146	175	C	R	(V)=A-Z/0-9/Space/&
11(c)	PROP-OWNER-ADDRESS3	30	176	205	C	R	(V)=A-Z/0-9/Space/&
12	PROP-OWNER-CITY	30	206	235	C	R	(V)=A-Z/0-9/Space
13	PROP-OWNER-COUNTY	20	236	255	C	O	
14	PROP-OWNER-STATE	2	256	257	C	R	Appendix
15	PROP-OWNER-ZIP	9	258	266	C	R	
16	PROP-OWNER-COUNTRY	3	267	269	C	R	Appendix
17	PROP-OWNER-TAXID	9	270	278	N	R	
18	PROP-OWNER-TAXID-EXT	2	279	280	C	O	
19(a)	PROP-OWNER-DOB-CCYY	4	281	284	N	O	(V)=1000-9999
19(b)	PROP-OWNER-DOB-MM	2	285	286	N	O	(V)=01-12
19(c)	PROP-OWNER-DOB-DD	2	287	288	N	O	(V)=01-31
20(a)	PROP-ST-TRANS-DATE-CCYY	4	289	292	N	M	(V)=1000-9999

Property Record Format (Continued)

Field Number	Field ID	Number of Positions	From	Through	Type Class	Mandatory Required Optional	Acceptable Values (V) Comments / Edits
20(b)	PROP-ST-TRANS-DATE-MM	2	293	294	N	M	(V)=01-12
20(c)	PROP-ST-TRANS-DATE-DD	2	295	296	N	M	(V)=01-31
21(a)	PROP-EN-TRANS-DATE-CCYY	4	297	300	N	O	(V)=1000-9999
21(b)	PROP-EN-TRANS-DATE-MM	2	301	302	N	O	(V)=01-12
21(c)	PROP-EN-TRANS-DATE-DD	2	303	304	N	O	(V)=01-31
22	PROP-PROPERTY-TYPE	4	305	308	C	R	Appendix
23	PROP-AMOUNT-REPORTED	10	309	318	N	M	
24	PROP-DEDUCTION-TYPE	2	319	320	C	M	If Deduction Amt > 0
25	PROP-DEDUCTION-AMOUNT	10	321	330	N	M	
26	PROP-AMOUNT-ADVERTISED	10	331	340	N	M	
27	PROP-ADDITION-TYPE	2	341	342	C	R	If Addition Amt > 0
28	PROP-ADDITION-AMOUNT	10	343	352	N	M	
29	PROP-DELETION-TYPE	2	353	354	C	R	If Deletion Amt > 0
30	PROP-DELETION-AMOUNT	10	355	364	N	M	
31	PROP-AMOUNT-REMITTED	10	365	374	N	M	If Cash
32	PROP-INTEREST-FLAG	1	375	375	C	M	If Interest Bearing
33	PROP-INTEREST-RATE	7	376	382	N	R	If Flag = 'Y'
34	PROP-STOCK-ISSUE-NAME	25	383	407	C	R	If Security
35	PROP-STOCK-CUSIP	9	408	416	C	R	If Security
36	PROP-NUMBER-OF-SHARES	12	417	428	N	R	If Security
37	PROP-ADD-SHARES	12	429	440	N	R	If Security
38	PROP-DEL-SHARES	12	441	452	N	R	If Security
39	PROP-REM-SHARES	12	453	464	N	R	If Security
40	PROP-UNEXCHANGED-ISSUE-NAME	25	465	489	C	R	If Unexch
41	PROP-UNEXCHANGED-CUSIP	9	490	498	C	R	If Unexch

Property Record Format (Continued)

Field Number	Field ID	Number of Positions	From	Through	Type Class	Mandatory Required	Acceptable Values (V) Comments / Edits
42	PROP-UNEXCHANGED-SHARES	12	499	510	N	R	If Unexch
43	PROP-ACCT-NUMBER	20	511	530	C	O	
44	PROP-CHECK-NUMBER	20	531	550	C	O	
45	PROP-DESCRIPTION	50	551	600	C	O	
46	PROP-RELATIONSHIP-CODE	2	601	602	C	M	Appendix
47	PROP-OWNER-TYPE-CODE	2	603	604	C	M	Appendix
48	FILLER	21	605	625	C	M	Space Fill

NAUPA Standard Electronic File Format
Additional Owner Record Format

Field Number	Field ID	Number of Positions	From	Through	Type Class	Mandatory Required Optional	Acceptable Value (V) Comments / Edits
1	TR-CODE	1	1	1	N	M	(V) = 3
2	PROP-SEQUENCE-NUMBER	6	2	7	N	M	(V) = PROP-SEQUENCE-NO
3	PADD-OWNER-TYPE	1	8	8	C	M	(V) = A
4	PADD-OWNER-NAME-LAST	40	9	48	C	M	(V)=A-Z/0-9/Space/&
5	PADD-OWNER-NAME-FIRST	30	49	78	C	R	(V)=A-Z/0-9/Space/&
6	PADD-OWNER-NAME-MIDDLE	10	79	88	C	R	(V)=A-Z/0-9/Space/&
7	PADD-OWNER-NAME-PREFIX	10	89	98	C	R	(V)=A-Z/0-9/Space/&
8	PADD-OWNER-NAME-SUFFIX	10	99	108	C	R	(V)=A-Z/0-9/Space/&
9	PADD-OWNER-NAME-TITLE	6	109	114	C	R	(V)=A-Z/0-9/Space/&
10(a)	PADD-OWNER-ADDRESS1	30	115	144	C	R	(V)=A-Z/0-9/Space/&
10(b)	PADD-OWNER-ADDRESS2	30	145	174	C	R	(V)=A-Z/0-9/Space/&
10(c)	PADD-OWNER-ADDRESS3	30	175	204	C	R	(V)=A-Z/0-9/Space/&
11	PADD-OWNER-CITY	30	205	234	C	R	(V)=A-Z/0-9/Space
12	PADD-OWNER-COUNTY	20	235	254	C	O	
13	PADD-OWNER-STATE	2	255	256	C	R	Appendix
14	PADD-OWNER-ZIP	9	257	265	C	R	
15	PADD-OWNER-COUNTRY	3	266	268	C	R	Appendix
16	PADD-OWNER-TAXID	9	269	277	C	R	Space fill
17	PADD-OWNER-TAXID-EXT	2	278	279	C	R	Space Fill
18(a)	PADD-OWNER-DOB-YY	4	280	283	N	O	(V)=1000-9999
18(b)	PADD-OWNER-DOB-MM	2	284	285	N	O	(V)=01-12
18(c)	PADD-OWNER-DOB-DD	2	286	287	N	O	(V)=01-31

Additional Owner Record Format (Continued)

Field Number	Field ID	Number of Positions	From	Through	Type Class	Mandatory Required Optional	Acceptable Value (V) Comments / Edits
19	PADD-RELATIONSHIP-CODE	2	288	289	C	M	Appendix
20	PADD-SEQ-NUMBER	3	290	292	N	M	Initial (V)=1, Increment by 1 for each owner on the same property
21	PADD-OWNER-TYPE-CODE	2	293	294	C	M	Appendix
22	PADD-NAME-ID	1	295	295	C	M	C or Space
23	FILLER	330	296	625	C	M	Space fill

NAUPA Standard Electronic File Format
Securities Information Record Format

Field Number	Field ID	Number Of Positions	From	Through	Type Class	Mandatory Required Optional	Acceptable Value (V) Comments / Edits
1	TR-CODE	1	1	1	N	M	(V) = 5
2	PROP-SEQUENCE-NUMBER	6	2	7	N	M	(V) = PROP-SEQUENCE-NO
3	SECR-SUBISSUE-NAME	150	8	157	C	O	
4	SECR-ORIGINAL-SHRS-HELD	12	158	169	N	O	
5	SECR-ORIGINAL-REG-NAME	70	170	239	C	O	Exact registration name
6	SECR-DELIVERY-METHOD	10	240	249	C	M	Appendix
7	SECR-CERTIFICATE	20	250	269	C	O	Original Certificate Number
8	SECR-SYMBOL	10	270	279	C	O	
9	SECR-DEPOSIT-ACCOUNT	20	280	299	C	O	
10	SECR-MUTL-FAMILY	50	300	349	C	O	
11	FILLER	276	350	625	C	M	Space fill

NAUPA Standard Electronic File Format
Tangible Record Format

Field Number	Field ID	Number Of Positions	From	Through	Type Class	Mandatory Required Optional	Acceptable Value (V) Comments / Edits
1	TR-CODE	1	1	1	N	M	(V) = 6
2	PROP-SEQUENCE-NUMBER	6	2	7	N	M	(V) = PROP-SEQUENCE-NO
3	TANG-SEQUENCE-NUMBER	3	8	10	N	M	
4	TANG-BOX-NUMBER	25	11	35	N	M	
5	TANG-DESCRIPTION	125	36	160	N	M	
6	TANG-UNPAID-RENT	12	161	172	N	O	
7	TANG-DRILLING-FEES	12	173	184	N	O	
8(a)	TANG-OPENED-DATE-CCYY	4	185	188	N	M	
8(b)	TANG-OPENED-DATE-MM	2	189	190	N	M	
8(c)	TANG-OPENED-DATE-DD	2	191	192	N	M	
9	TANG-OPENED-BY	25	193	217	C	O	
10(a)	TANG-EXPIRED-DATE-CCYY	4	218	221	N	O	
10(b)	TANG-EXPIRED-DATE-MM	2	222	223	N	O	
10(c)	TANG-EXPIRED-DATE-DD	2	224	225	N	O	
11	TANG-CATEGORY-TYPE-CODE	4	226	229	C	R	
12	FILLER	396	230	625	C	M	Space fill

NAUPA Standard Electronic File Format
Summary Record Format

Field Number	Field ID	Number Of Positions	From	Through	Type Class	Mandatory Required Optional	Acceptable Value (V) Comments / Edits
1	TR-CODE	1	1	1	N	M	(V) = 9
2	SUMM-NBR-OF-RECORDS	6	2	7	N	M	
3	SUMM-NBR-OF-PROPERTIES	6	8	13	N	M	
4	SUMM-AMOUNT-REPORTED	12	14	25	N	M	
5	SUMM-DEDUCTION-AMOUNT	12	26	37	N	M	
6	SUMM-AMOUNT-ADVERTISED	12	38	49	N	M	
7	SUMM-ADDITION-AMOUNT	12	50	61	N	M	
8	SUMM-DELETION-AMOUNT	12	62	73	N	M	
9	SUMM-AMOUNT-REMITTED	12	74	85	N	M	
10	SUMM-NBR-OF-SHARES	14	86	99	N	M	
11	SUMM-SHARES-ADD	14	100	113	N	M	
12	SUMM-SHARES-DEL	14	114	127	N	M	
13	SUMM-SHARES-REMITTED	14	128	141	N	M	
14	SUMM-NEGATIVE-REPORT	1	142	142	C	O	Y or space
15	SUMM-SOFTWARE-VERSION	20	143	162	C	M	
16	SUMM-CREATOR	20	163	182	C	M	
17	SUMM-CREATOR-CONTACT	70	183	252	C	M	
18	FILLER	373	253	625	C	M	Space fill

State Codes

State	Code	State	Code
Alabama	AL	Montana	MT
Alaska	AK	Nebraska	NE
Arizona	AZ	Nevada	NV
Arkansas	AR	New Hampshire	NH
California	CA	New Jersey	NJ
Colorado	CO	New Mexico	NM
Connecticut	CT	New York	NY
Delaware	DE	North Carolina	NC
District of Columbia	DC	North Dakota	ND
Florida	FL	Ohio	OH
Georgia	GA	Oklahoma	OK
Hawaii	HI	Oregon	OR
Idaho	ID	Pennsylvania	PA
Illinois	IL	Rhode Island	RI
Indiana	IN	South Carolina	SC
Iowa	IA	South Dakota	SD
Kansas	KS	Tennessee	TN
Kentucky	KY	Texas	TX
Louisiana	LA	Utah	UT
Maine	ME	Vermont	VT
Maryland	MD	Virginia	VA
Massachusetts	MA	Washington	WA
Michigan	MI	West Virginia	WV
Minnesota	MN	Wisconsin	WI
Mississippi	MS	Wyoming	WY
Missouri	MO		

NAUPA II Standard Electronic File Format

Country Codes
Available at http://www.un.org/Depts/unsd/methods/m49alpha.htm
NAICS Codes
Available at http://www.census.gov/epcd/www/naics.html